

**DEPARTMENT OF THE TREASURY  
FEDERAL LAW ENFORCEMENT TRAINING CENTER  
GLYNCO, GA 31524**

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FLETC DIRECTIVE (FD)

NUMBER: 63-35.B

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SUBJECT: SES Staffing Plan

DATE: 10-11-00

SUNSET REVIEW DATE: 10-11-04

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1. Purpose: This directive implements the provisions of Title 5, Code of Federal Regulations (CFR) Part 317, and Chapter 317.2 of the Treasury Personnel Policy Manual. It establishes policies and procedures for staffing Senior Executive Service (SES) positions in the Bureau of the Federal Law Enforcement Training Center (FLETC).

2. Scope: The provisions of this directive apply to all Senior Executive Service positions in the FLETC.

3. References:

- a. Public Law 95-454, The Civil Service Reform Act
- b. 5 USC 3131-3136, 3391-3397, and 5 CFR 212 and 317
- c. Uniform Guidelines on Employee Selection Procedures
- d. Omnibus Budget Reconciliation Act of 1981
- e. Treasury Personnel Policy Manual, Chapter 317.2

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## CHAPTER A--GENERAL

1. Authority and Responsibility. Responsibility is hereby delegated as follows:

a. The FLETC Director is responsible for:

(1) Ensuring that the FLETC SES staffing processes are accomplished in accordance with Office of Personnel Management (OPM) and Treasury regulations including certification of managerial/technical qualifications.

(2) Ensuring that appropriate security investigations have been conducted and adjudicated.

(3) Approving all proposed reassignments of SES members who are at pay levels ES-1 through ES-4.

(4) Approving details of SES members to other SES positions.

(5) Approving single interval pay adjustments of SES members up to ES-4.

b. The FLETC Executive Resources Board (ERB) is responsible for:

(1) Reviewing SES staffing requirements on a periodic basis to ensure that maximum utilization of allotted SES spaces is occurring.

(2) Developing and/or approving qualification standards for both career-reserved and general positions.

(3) Establishing and implementing recruitment and selection procedures for both SES positions and FLETC SES Candidate Development Program (CDP) positions.

(4) Reviewing the technical and executive core qualifications of qualified candidates for positions to be filled by career appointees and qualified candidates for an SES CDP, and making written recommendations to the appropriate appointing authority concerning such candidates.

(5) Ensuring that SES personnel staffing actions are appropriately documented.

(6) Periodically reviewing the Bureau's SES affirmative action progress.

c. The Human Resources Officer (Executive Resources Officer) is responsible for:

(1) Developing the FLETC policies and/or implementing instructions regarding the staffing of SES positions.

(2) Making recommendations, as appropriate, to the FLETC ERB on matters relating to management of the executive resources of the FLETC.

(3) Serving as Executive Secretary of the ERB.

(4) Ensuring that all SES staffing actions for the FLETC's SES positions comply with OPM and Department of Treasury requirements.

(5) Ensuring that all appropriate clearances (e.g., security clearances, tax checks) are obtained prior to appointment of SES members.

## 2. Definitions:

a. Appointing Authority for SES positions is the FLETC Director consistent with statutory and regulatory criteria and Departmental policy. Appointing authority covers all SES positions except those for which appointing authority is specifically reserved to the Secretary, Deputy Secretary, or other Treasury Official by Treasury Order, Directive, or other issuance.

b. The ERB is composed of the following individuals with responsibilities as outlined in sub-paragraph 1.b:

(1) Associate Director (Washington Operations)

(2) Associate Director (Planning & Resources).

(3) Associate Director (Training).

(4) SES Member from an outside organization. (Optional)

(5) Human Resources Officer (Executive Resources Officer) (non-voting).

## CHAPTER B--MERIT STAFFING REQUIREMENTS

3. SES Merit Staffing Policy Statement. It is the policy of the FLETC that staffing of the FLETC's SES positions will be accomplished in accordance with regulatory and procedural requirements of OPM and the Department of the Treasury. Selection for career appointments, reassignments, transfers, and reinstatements shall be based solely on job-related criteria and made without discrimination on the basis of race, religion, color, sex, national origin, political affiliation, marital status, nondisqualifying physical handicap, age or other known non-merit factors such as personal favoritism and membership or non-membership in an employee organization.

4. Qualification Standards. Qualification standards will be developed for each SES position based on a thorough job analysis identifying the following:

a. Technical and Executive Qualifications.

(1) The essential elements of the job in terms of duties, responsibilities, and performance expectations.

(2) The desirable elements which are important to successful performance in the SES position.

(3) The managerial/executive and professional/technical skills, knowledges, abilities, and other qualifications which would enable an individual to perform the duties of the position and meet the responsibilities and performance expectations.

b. Five Executive Core Qualifications. In addition to developing the above, the five executive core qualifications which will be reviewed by the OPM Qualifications Review Board (QRB) should be considered and incorporated into the qualification standards. The executive qualifications are:

(1) Leading Change.

(2) Leading People.

(3) Results Driven.

(4) Business Acumen.

(5) Building Coalitions/Communications.

5. Vacancy Announcements. SES vacancy announcements will be prepared with the approval of the FLETC Director and/or the ERB and must contain, at a minimum, the following information:

- a. Announcement number.
- b. Opening and closing dates and the date by which applications and supplemental forms must be received in the Staffing Branch.
- c. Area of consideration (all qualified persons or all qualified Federal employees).
- d. Position title.
- e. Potential SES pay ranges.
- f. Location (organizational and geographic).
- g. Description of major duties.
- h. Qualifications requirements to include executive core qualifications.
- i. Evaluation methods to be used.
- j. Application procedures.
- k. Equal Opportunity statement.
- l. Request for applicants to complete Background Questionnaire, OPM Form 1386.
- m. Statement regarding the one-year probationary requirement for new SES appointees.
- n. Statement regarding the requirement for a pre-appointment full-field background for a top secret security clearance.

o. Statement regarding the requirement that the selectee will be required to complete an Executive Personal Financial Disclosure Report, SF-278, and undergo appropriate tax checks.

p. Statement that the selectee for an initial appointment to an SES position must have his or her executive qualifications approved by OPM's QRB and may be required to provide two written references from individuals able to evaluate his or her executive core qualifications.

#### 6. Distribution of SES Announcements.

a. Notification to the Department. The Department of the Treasury's Director of Personnel (Office of Personnel Policy) must be provided a copy of the SES vacancy announcement within five working days. The FLETC will prepare and enter vacancy announcements into OPM's Federal Job Opportunities Board and provide a copy to the Office of Personnel Policy (OPP) within five working days.

b. Notification to Targeted Agencies and Organizations. To meet affirmative action responsibilities, copies of FLETC SES vacancy announcements will be sent to targeted agencies and organizations such as those representing women and minorities when it is anticipated that this will result in a favorable supply of highly qualified applicants. In addition, the FLETC may elect to do (1) "geographical" targeting, which is concentrated recruitment in those geographic areas where the vacancies occur; and (2) "specialty" targeting, which is concentrated recruitment in those agencies, universities, and/or professional organizations, etc., most likely to produce highly qualified candidates.

7. Determination of Basic Eligibility. The FLETC Staffing/Classification Branch, Human Resources Division, is responsible for screening applicants for SES positions to determine if they meet the essential qualifications for the position.

8. Development of Crediting Plan. The Human Resources Division will prepare the crediting plan for a vacant SES position with the assistance of a subject matter expert. The completed crediting plan shall be approved by the FLETC Director and/or the ERB.

9. Rating Panel. Applications who meet both technical and executive core qualifications for the SES position(s) will be rated by a minimum of three members of the ERB. The Executive Resources Officer and Assistant to the Director (ATD) will serve as nonvoting advisors. Applicants will be rated against the rating criteria of the crediting plan as established for the position(s).

10. Ranking of Applicants. Based on the composite ratings of the applicants by members of the ERB, each candidate will be given a rating, by category, as follows:

a. Qualified: Those candidates whose qualifications indicate an acceptable or adequate probability of success in the position.

b. Highly Qualified: Those candidates whose qualifications indicate a high probability of success in the position.

11. Interviews. The ERB members may interview each of the "highly qualified" candidates. The interviews should be structured to obtain more complete information or to assess criteria which was not ratable from the written record. If any of the "highly qualified" SES candidates are interviewed, all must be interviewed.

12. ERB Recommendations. The ERB will forward to the FLETC Director a recommendation for the selectee. The recommendation must be in writing and contain a rationale for the recommended selectee(s).

13. Selection Process. The FLETC Director, when appropriate, may make a selection based on the Board's recommendations without interviewing the candidates. However, the Director or other appointing official may elect to interview the candidates prior to selection. The Director must certify in writing that merit staffing procedures were followed and that the applicants met the technical and executive core qualifications.

14. Documentation of Merit Staffing for SES Positions. Proper documentation of SES staffing and CDP actions is essential for the reconstruction of the evaluation and selection process. Screening panels and ERB members will be carefully instructed as to the documentation required for an SES case file. The information in the SES case file should be sufficient to reconstruct the case in its entirety. The temporary folder shall be maintained by the Staffing/Classification Branch for a period of two years following the effective date of the



action and must contain, at a minimum, the following:

- a. Qualification Standard (including job analysis).
- b. Vacancy announcement, and the OPM SES vacancy listing number and date.
- c. Applications of qualified as well as the not qualified applicants and appraisals, if any.
- d. Evaluation methods used (e.g., performance appraisal, experience, education and awards.)
- e. Basic eligibility determinations for all applicants.
- f. Names of candidates as they appeared in the final ranking, including the numerical ratings assigned and placement within categories.
- g. Individual rating sheets of screening panel members.
- h. Promotion certificate containing the names of those candidates referred to the selected official.
- i. The memorandum or completed promotion certificate from the selecting official with the name of the candidate tentatively selected, the reasons for the selection, and the proposed pay rate.
- j. The recommendation of the ERB.
- k. The selection approved by the Director or other appropriate official.
- l. Certification in writing from the Director that merit staffing procedures were followed and that the applicants meet the technical and executive core qualifications.
- m. The documentation forwarded to the Department of the Treasury and OPM for review and approval of the case file, including a copy of OPM Form 1390, a narrative of the candidate's experience which briefly summarizes the executive core qualifications, and the SF-52.

n. Responses to applicant inquiries and notifications to nonselected applicants.

15. Notification of SES Actions.

a. Actions approved by the Department or OPM. These may be effected on any date after the Department (if appropriate) or OPM approves an action. To expedite processing the action, the FLETC Human Resources Officer or his or her designee will be notified of the approval(s) by the OPP. If the effective date is different from the approval date, the FLETC Human Resources Officer is responsible for notifying the OPP as to the effective date.

b. Actions Effected at the Bureau Level. SES reassignments, details, separations, etc., must be reported to OPP no later than five workdays following the effective date of the action. OPM Form 1390 is the appropriate document for notification of such actions.

16. Position Management/Classification. Actions to cancel, redescribe, or establish SES positions as the result of a reorganization may be taken only after Departmental approval has been obtained. Classification authority to establish, redescribe, or cancel SES positions rests with the FLETC Director; however, the Human Resources Office will prepare position descriptions, identify the appropriate job series, and make a determination that a position is classifiable above the GS-15 level.

17. Program Evaluation. Annual evaluation of the SES Staffing Plan is required to ensure it is viable and responsive to the needs of the FLETC. This Plan will be evaluated on an annual basis by the Director and/or the ERB to:

a. Ensure that the Plan's provisions are in accordance with the latest OPM and Departmental regulations and guidelines.

b. Determine how effectively the Plan is operating and what improvement, if any, are required. Any such recommendations shall be forwarded to the Director of Personnel for his or her approval.

W. Ralph Basham  
Director

